



HF 0300
BOX SEY

PATENT APPLICATION
DOCKET NO.T8948.CIP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Mahato, Ram I.
SERIAL NO.: 10/083,861
FILED: February 25, 2002
FOR: NOVEL CATIONIC
LIPOPOLYMER AS
BIOCOMPATIBLE GENE
DELIVERY AGENT
ART UNIT: 1635
DOCKET NO.: T8948.CIP

CERTIFICATE OF DEPOSIT
UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail, postage prepaid, under 37 C.F.R. § 1.8 on the date indicated below and is addressed to Assistant Commissioner for Patents, Arlington, VA 22202

Karen Jacobson
8-5-02

Date of Deposit

**RESPONSE TO NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT
APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO
ACID SEQUENCE DISCLOSURES**

Assistant Commissioner for Patents
Box Sequence
P. O. Box 2327
Arlington, VA 22202

Sir:

In response to the Notice to Comply With Requirements for Patent Applications
Containing Mucleotide Sequence and/or Amino Acid Sequence Disclosures mailed June 5, 2002,
applicant submits the following:

1. A corrected Sequence Listing,
2. A disc with the corrected Sequence Listing
3. A duplicate copy of the Notice to Comply with Requirements for Patent

Applications Containing Nucleotide Sequence and/or Amino Acid Sequence
Disclosures

7

4. A copy of the Raw Sequence Listing sent to applicant for correction.
5. A copy of the original Filing Receipt showing the filing date of February 25, 2002
6. A return receipt postcard.

As listed in the Raw Sequence Listing to be corrected, which was submitted by the Patent Office to the applicant for correction, No. <141> shows "CURRENT FILING DATE 2002-04-03". Applicant respectfully submits that the correct filing date is evidenced by the enclosed copy of the Filing Receipt and also by the enclosed Notice to Comply with Requirements, as February 2, 2002.

Pursuant to 37 C.F.R. §1.1821(f), applicants enclose a paper copy and a computer readable form of the sequence listing. Applicants further submit that the paper copy and the computer readable form of the sequence listing are identical and there is no new matter.

Applicants further respectfully request entry of this Sequence Listing into the application.

The Commissioner is hereby authorized to charge any additional fee or to credit any overpayment in connection with this Statement to Deposit Account No. 20-0100.

DATED this 5th day of August, 2002.

Respectfully submitted,



M. Wayne Western
Attorney for Application
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Customer No. 20,551
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WW/WC:kj
Enc.

RECEIVED

Page 1 of 2

APR 15 2002



UNITED STATES PATENT AND TRADEMARK OFFICE

Thorpe North & Western

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/083,861	02/25/2002	1635	589	T8948.CIP	13	35	5

CONFIRMATION NO. 5816

FILING RECEIPT



OC00000007841484



Date Mailed: 04/10/2002

M. Wayne Western
THORPE NORTH & WESTERN, L.L.P.
P.O. Box 1219
Sandy, UT 84091-1219

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Ram I. Mahato, Residence Not Provided;
Sang-Oh Han, Residence Not Provided;
Darin Y. Furgeson, Residence Not Provided;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/662,511 09/14/2000 *

(*) Data inconsistent with PTO records.

Foreign Applications

If Required, Foreign Filing License Granted 04/10/2002

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

Novel cationic lipopolymer as biocompatible gene delivery agent

Preliminary Class



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
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 WASHINGTON, D.C. 20231
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/083,861	02/25/2002	Ram I. Mahato	T8948.CIP

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 THORPE, NORTH & WESTERN, L.L.P.
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 Sandy, UT 84091-1219



CONFIRMATION NO. 5816
 FORMALITIES LETTER



OC000000008232599

Date Mailed: 06/05/2002

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS
 CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE
 DISCLOSURES**

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing." Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



OIPe

RAW SEQUENCE LISTING
PATENT APPLICATION: US/10/083,861

DATE: 05/20/2002
TIME: 14:07:01

Input Set : A:\pto.vsk.txt
Output Set: N:\CRF3\05202002\J083861.raw

Does Not Comply
Corrected Diskette Needed

3 <110> APPLICANT: Mahato, Ram I.
4 Han, Sang-Oh
5 Fergeson, Darin Y.
7 <120> TITLE OF INVENTION: A Novel Cationic Lipopolymer as Biocompatible Gene Delivery
Agent
9 <130> FILE REFERENCE: T8948.CIP
11 <140> CURRENT APPLICATION NUMBER: US 10/083,861
OK-> 13 <141> CURRENT FILING DATE: 2002-04-03 ^{? corrected text string}
15 <150> PRIOR APPLICATION NUMBER: US 09/662,511
17 <151> PRIOR FILING DATE: 2000-09-14
19 <160> NUMBER OF SEQ ID NOS: 6
21 <170> SOFTWARE: WordPerfect 8.0

ERRORED SEQUENCES

(global errors)

23 <210> SEQ ID NO: 1
25 <211> LENGTH: 21
E--> 27 <212> TYPE: Nucleic acid ^{initial - the only valid response for a nucleotide sequence}
29 <213> ORGANISM: Artificial Sequence
W--> 31 <220> FEATURE:
31 <223> OTHER INFORMATION: PCR primer
OK-> 33 <400> SEQUENCE: 1
35 GTC TCC CAA GGT CAG CGT TCG 21
37 <210> SEQ ID NO: 2
39 <211> LENGTH: 21
E--> 41 <212> TYPE: Nucleic acid
43 <213> ORGANISM: Artificial Sequence
W--> 45 <220> FEATURE:
45 <223> OTHER INFORMATION: PCR primer
OK-> 48 <400> SEQUENCE: 2
50 CTG GTT TGG TCC CGT GTG ATG 21
52 <210> SEQ ID NO: 3
54 <211> LENGTH: 21
E--> 56 <212> TYPE: Nucleic acid
58 <213> ORGANISM: Artificial Sequence
W--> 60 <220> FEATURE:
60 <223> OTHER INFORMATION: PCR primer
OK-> 62 <400> SEQUENCE: 3
64 ATG GTG GGA ATG GGT CAG AAG 21
66 <210> SEQ ID NO: 4
68 <211> LENGTH: 21
E--> 70 <212> TYPE: Nucleic acid
72 <213> ORGANISM: Artificial Sequence

Please consult
Sequence Rules for
valid format.

→ mandatory numeric
identifier whenever
<221>, <222>, or
<223> is shown

→ use
lower-case
letters for
bases

(for a combined DNA/RNA
sequence, use
DNA)

RAW SEQUENCE LISTING
PATENT APPLICATION: US/10/083,861

DATE: 05/20/2002
TIME: 14:07:01

Input Set : A:\pto.vsk.txt
Output Set: N:\CRF3\05202002\J083861.raw

W--> 74 <220> FEATURE:
74 <223> OTHER INFORMATION: PCR primer
E--> 76 <400> SEQUENCE: 4
78 CAC GCA GCT CAT TGT AGA AGG 21
80 <210> SEQ ID NO: 5
82 <211> LENGTH: 18
E--> 84 <212> TYPE: Nucleic acid
86 <213> ORGANISM: Artificial Sequence
W--> 88 <220> FEATURE:
88 <223> OTHER INFORMATION: PCR primer
E--> 90 <400> SEQUENCE: 5
92 GCC AAT AGG GAC TTT CCA 18
94 <210> SEQ ID NO: 6
96 <211> LENGTH: 21
E--> 98 <212> TYPE: Nucleic acid
100 <213> ORGANISM: Artificial Sequence
W--> 102 <220> FEATURE:
102 <223> OTHER INFORMATION: PCR primer
E--> 104 <400> SEQUENCE: 6
106 GGT CAT GTA CTG GGC ATA ATG 21

VERIFICATION SUMMARY
PATENT APPLICATION: US/10/083,861

DATE: 05/20/2002
TIME: 14:07:02

Input Set : A:\pto.vsk.txt
Output Set: N:\CRF3\05202002\J083861.raw

L:13 M:271 C: Current Filing Date differs, Replaced Current Filing Date
L:27 M:310 E: (3) Wrong or Missing Sequence Type, TYPE:
L:31 M:258 W: Mandatory Feature missing, <220> not found for SEQ ID#:1
L:33 M:200 E: Mandatory Header Field missing, <220> not found for SEQ ID#:1
L:41 M:310 E: (3) Wrong or Missing Sequence Type, TYPE:
L:45 M:258 W: Mandatory Feature missing, <220> not found for SEQ ID#:2
L:48 M:200 E: Mandatory Header Field missing, <220> not found for SEQ ID#:2
L:56 M:310 E: (3) Wrong or Missing Sequence Type, TYPE:
L:60 M:258 W: Mandatory Feature missing, <220> not found for SEQ ID#:3
L:62 M:200 E: Mandatory Header Field missing, <220> not found for SEQ ID#:3
L:70 M:310 E: (3) Wrong or Missing Sequence Type, TYPE:
L:74 M:258 W: Mandatory Feature missing, <220> not found for SEQ ID#:4
L:76 M:200 E: Mandatory Header Field missing, <220> not found for SEQ ID#:4
L:84 M:310 E: (3) Wrong or Missing Sequence Type, TYPE:
L:88 M:258 W: Mandatory Feature missing, <220> not found for SEQ ID#:5
L:90 M:200 E: Mandatory Header Field missing, <220> not found for SEQ ID#:5
L:98 M:310 E: (3) Wrong or Missing Sequence Type, TYPE:
L:102 M:258 W: Mandatory Feature missing, <220> not found for SEQ ID#:6
L:104 M:200 E: Mandatory Header Field missing, <220> not found for SEQ ID#:6